

12/21/01

12/28/01

PTO/SB/05 (4/98)

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

A  
+

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new non-provisional applications under 37 C.F.R. § 1.53(B))

Attorney Docket No.	S01.12-0860/STL 10458
First Inventor or Application Identifier	Tong Shi
Title	METHOD AND APPARATUS FOR SELECTING EQUALIZATION TARGETS
Express Mail Label No.	EL84434942US

PTO  
12/21/01

**APPLICATION ELEMENTS**  
See MPEP chapter 600 concerning utility patent application contents.

Address To: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. <input checked="" type="checkbox"/> *Fee Transmittal Form e.g., PTO/SB17) (Submit an original and a duplicate for fee processing)	5. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification [Total Sheets <b>22</b> ] (preferred arrangement set forth below - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure	6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (If applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (Identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies
<input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. § 113) [Total Sheets <b>6</b> ] Oath or Declaration [Total Sheets <b>2</b> ] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 17 completed) i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§1.63(d)(2) and 1.33(b).	

**ACCOMPANYING APPLICATION PARTS**

7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))	
8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee)	<input checked="" type="checkbox"/> Power of Attorney
9. <input type="checkbox"/> English Translation Document	
10. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS/PTO – PTO)	<input type="checkbox"/> Copies of IDS
11. <input type="checkbox"/> Preliminary Amendment	
12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)	
13. <input type="checkbox"/> *Small Entity Statement(s) filed in prior application. Status still proper and desired (PTO/SB/09-12)	
14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)	
15. <input type="checkbox"/> Request and Cert. Under 35 USC 122 (Non-Pub)	
16. <input checked="" type="checkbox"/> Other: Our checks in the amount of \$40.00 and \$914.00	

\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation –in part (CIP) of prior application No: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

**FOR CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE**

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)	or	<input checked="" type="checkbox"/> Correspondence address below
Name	Theodore M. Magee WESTMAN CHAMPLIN & KELLY		
Address	Suite 1600 – International Centre 900 South Second Avenue		
City	Minneapolis	State	MN
Country	USA	Zip Code	55402-3319
	Telephone	(612) 334-3222	Fax (612) 334-3312

Name (Print/type)	Theodore M. Magee	Registration No. (Attorney/Agent)	39,758
Signature	<i>Theodore M. Magee</i>	Date	12/21/01

# FEE TRANSMITTAL

Complete if Known

Application No.

Filing Date

First Named Inventor

Title

Group Art Unit

Examiner Name

HEREWITH

Tong Shi

METHOD AND APPARATUS FOR  
SELECTING EQUALIZATION TARGETS

Total Amount of Payment \$ 914

Atty. Docket Number

S01.12-0860/STL 10458

## METHOD OF PAYMENT (Check One)

## FEE CALCULATION (Continued)

1. ☒ The Director is hereby authorized to charge any additional fee required under 37 C.F.R. § 1.16 and 1.17, including any petition fee, and credit any over payments to Deposit Account No. 23-1123.  
Westman, Champlin & Kelly, P.A.

2. ☒ Check Enclosed

## 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
105	130	205	65	Surcharge - Late filing fee or oath	
127	50	227	25	Surcharge - Late provisional Filing Fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For Filing a Request for Reexamination. (ex parte)	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	280	980	Extension for reply within fifth month	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
148	110	248	55	Terminal Disclaimer Fee	
140	110	240	55	Petition to Revive - unavoidable	
141	1,310	241	670	Petition to Revive - unintentional	
142	1,310	242	670	Utility/Reissue issue fee (inc. advance copies)	
143	490	243	260	Design issue fee (inc. advance copies)	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	

Other Fee (specify) \_\_\_\_\_

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description
Fee	Fee	Fee	Fee	
Code	(\$)	Code	(\$)	
101	740	201	370	<input checked="" type="checkbox"/> Utility Filing Fee
106	330	206	165	<input type="checkbox"/> Design Filing Fee
108	740	208	370	<input type="checkbox"/> Reissue Filing Fee
114	160	214	80	<input type="checkbox"/> Prov. Filing Fee

Subtotal (1) \$ 740

### EXTRA CLAIM FEES

	Number Claims	Prior**	Extra	Fee from Below	Fee Paid
Total	25	20	5	18	90
Indep.	4	3	1	84	84

Multiple Dependent Claims

\*\* Insert 3 and 20, or number previously paid if greater; Reissue see below

Large Entity		Small Entity		Description
Fee	Fee	Fee	Fee	
Code	(\$)	Code	(\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple Dependent Claims
109	84	209	42	Reissue Independent Claims over Original Patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

Subtotal (2) \$ 174

Subtotal (3) \$

Signature

(Theodore M. Magee)

Reg. No. 39,758

Date 12-21-01

Deposit Account No. 23-1123